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Security



**POLICY AND PROCEDURES FOR HANDLING
AND SAFEGUARDING NORTH ATLANTIC
TREATY ORGANIZATION (NATO)
INFORMATION**

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This instruction provides guidelines for handling NATO classified information, and identifies responsibilities of the NATO subregistry (SR), NATO control point (CP), and NATO user offices within the Secretariat and the Air Staff. This HOI implements AFPD 31-4 and can be used in conjunction with procedures contained in USSAN 1-69, *United States Security Authority for NATO (USSAN)*, for handling NATO classified information, which can be obtained from the US Central Registry in Room 1B889.

SUMMARY OF REVISIONS

This revision deletes references to AFR 205-43, *Safeguarding NATO Classified Information*, and AFR 205-23, *Handling NATO Classified Information*, which dictates reference to the USSAN 1-69 on NATO instructions.

1. Subregistry Responsibilities:

- 1.1. Approve or disapprove requests from the Secretariat or Air Staff for establishing or disestablishing NATO control points or NATO user offices.
- 1.2. Conduct inspection of NATO control points annually and NATO user offices under 11 CS/SCSRAS at the discretion of the SR control officer. **NOTE:** Local Security Forces may inspect 11 CS/SCSRAS NATO control points and NATO user offices located outside the Washington D.C. area on behalf of 11 CS/SCSRAS. Security Forces must use a copy of the attached checklist (Attachment 2) and send the report to 11 CS/SCSRAS, 1000 Air Force Pentagon, Washington DC 20330-1000.
- 1.3. Maintain AF Forms 143, **Top Secret Register Page**, files on NATO Secret material.
- 1.4. Maintain originals of all AF Form 2583, **Request for Personnel Security Action**, on each person in HQ USAF having access to NATO showing a briefing was given.

2. NATO Control Point Responsibilities:

2.1. To be established as a NATO control point, the concerned office manager will send a request to 11 CS/SCSRAS, Document Security. The request shall include:

2.1.1. Complete address including the standard office symbol.

2.1.2. Point of contact, with complete telephone number.

2.1.3. Justification for establishment. **NOTE:** A control point will be established only if there is a need for NATO Secret (NS) or higher documents on a continuing basis. Absent the continual requirement, or need for a higher volume of accountable NATO documents, such documents may be loaned to user offices.

2.1.4. The highest NATO classification of material to be handled.

2.1.5. If the request for establishment as a NATO control point is approved, provide a letter identifying the primary and at least one alternate NATO control point officer (no grade restriction).

2.1.6. Provide a new letter when a change in control officers occurs.

2.2. Requests to be disestablished shall be submitted to 11 CS/SCSRAS citing the proposed disestablishment date and verification that NS or higher material has been destroyed or transferred.

2.2.1. The disestablishment letter will be kept on file for one year.

2.3. Approve or disapprove requests for establishing NATO user offices.

2.4. Conduct annual inspections of NATO users.

2.5. Prepare an AF Form 310, **Document Receipt and Destruction Certificate**, for each NS document being maintained, reproduced, or when transferring accountability. Maintain an active and inactive section for the AF Form 310.

2.5.1. In the active section, keep AF Forms 310 for documents that are currently within the control point.

2.5.2. In the inactive section, keep AF Form 310 for destroyed documents or documents transferred to SR for two years (AFMAN 37-139, *Records Disposition Schedule*, Table 31-4, Rule 32).

2.6. Change combinations to security containers holding NATO classified material annually, when a person having knowledge of the combination departs the organization, or when the container is brought into service or worked on by a locksmith or person not authorized access to contents of the safe.

2.7. Make sure that reproduction of NATO material is essential to mission accomplishment and that accountable NATO material is properly controlled.

2.8. Keep a copy of the latest inspection and a copy of the emergency destruction plan.

2.9. Make sure that message handling procedures are in accordance with USSAN Instruction 1-69.

2.10. Conduct an annual review of NATO holdings. Destroy material when it is no longer needed using procedures outlined in USSAN Instruction 1-69.

2.11. Clearly display an emergency destruction plan at each location where NATO material is stored. Coordinate destruction plans through your local information security procedures monitor according to AFI 31-401, *Managing the Information Security Program*.

2.12. Keep copies of all AF Form 2583s for persons having been briefed for NATO access.

2.13. Keep a NATO users' listing to show each user's mailing address, point of contact, Defense Switch Network and commercial telephone numbers.

2.14. Monitor NATO contracts for civilian agencies:

2.14.1. Contractors with current contracts requiring access to NATO information will be designated as user offices.

2.14.2. Verify that the contractor has a facility clearance and is authorized NATO access at the appropriate level by writing or calling:

Defense Investigative Service
Personnel Investigation Center
ATTN D0635 PO Box 1211
Baltimore MD 21203-1211
Telephone Number: (301) 633-4820

2.14.3. Annually, contractors must perform a review of their NATO holdings. They must maintain only contract-essential items.

2.14.3.1. The NATO control point maintains the annual review.

2.14.4. Material classified NS or higher, and all ATOMAL material must be returned to the SR or CP for destruction or other disposition.

2.14.4.1. Send a copy of AF Form 310 or a documented list of all NS documents to 11 CS/SCSRAS reflecting the destruction of all NS documents.

2.14.5. Contractors will refer to Chapter 10, Section 7, DoD 5220.22-M *National Industrial Security Program Operating Manual* for NATO information security requirements.

3. NATO User Responsibilities:

3.1. When a periodic and temporary need for NATO classified material is identified, establish a NATO user office through coordination with the supporting SR or CP.

3.1.1. Submit a written request through your servicing NATO control point. If you do not have a NATO control point, contact 11 CS/SCSRAS, 1000 Air Force Pentagon, Washington, DC 20330-1000 for help. The letter of request must contain items specified in paragraph 2.1.1.

3.2. NATO user offices wishing to be disestablished must submit a written request and proposed effective date to their supporting SR or CP.

3.2.1. User offices shall return all NS and higher material, and all ATOMAL, to their supporting SR or CP prior to being disestablished. Offices may continue to use retain NATO Confidential (NC) and below without being designated a user office provided clearance and NATO access requirements are satisfied.

4. NATO Distribution Procedures:

4.1. NATO classified material normally flows from the SR, through the CP, to user offices. If user offices wish to transmit or transfer NATO classified material, that material shall be passed to the CP or the SR for transmission. Subregistry personnel will make sure that the material is properly wrapped and distributed through the proper channels.

4.2. NATO Restricted (NR) material may be mailed directly by a NATO control point or NATO user.

4.2.1. Double wrap NR material to be mailed. Mark the sealed inner wrapper with the forwarding and return addresses and NR markings. If the package is to be pouched, the secured pouch may serve as the outer wrapping. For mailing, mark the outer wrapper with forwarding and return addresses, and the marking: "Postmaster: Do Not Forward, Return to Sender."

4.2.2. When NR material is mailed to addresses within the US and its territories, or to Army Post Office (APO)/ Fleet Post Office (FPO) addresses, it may be mailed via US Postal Service (USPS) First Class Mail. When mailed to addresses outside the US or its territories, NR will be sent via USPS registered mail or NATO member nation postal service.

4.2.3. Note that you may also send NR material as first-class mail using an APO, FPO or international (geographical) address.

4.2.4. Ensure the addressee has a need to know and is aware of procedures for handling NATO material.

4.3. NATO unclassified material may be mailed as is US unclassified mail. NATO unclassified material is released only to non-NATO organizations and individuals when such release would not be detrimental to the best interests of NATO.

5. Granting NATO Access. Commanders of NATO control points delegate the authority to the primary and alternate control point officers to grant NATO access.

5.1. NS access requires the individual possess a final US Secret clearance and be briefed according to USSAN Instruction 1-69.

5.2. NATO Confidential access requires the equivalent US clearance and established need-to-know.

5.3. NATO Unclassified or NR access does not require a formal briefing, but must meet guidelines outlined in paragraphs 4.2.2. and 4.3.1.

6. Extraction Guidelines:

6.1. Extract NATO information to allow individuals without NATO access to have limited access to information directly related to their assigned duties.

6.1.1. The extracted information must be limited to the minimal amount required for mission accomplishment.

6.1.2. Access to extracted information does not require a NATO access briefing.

6.2. Apply US classification markings to pages containing extracted NATO classified information based on the classification of the page or portion from which the NATO information was extracted.

6.3. US classified documents containing extracted NATO classified information shall be conspicuously marked on the cover or first page: **THIS DOCUMENT CONTAINS NATO (classification) INFORMATION.**

- 6.3.1. Show source of classification, that is, the source documents from which the classification is derived. If the classification is derived from more than one source, add the phrase “multiple sources” and keep the identification of each source with the file or record copy of the document.
- 6.3.2. Show the organization and standard office symbol of the originator of the derivative documents.
- 6.3.3. Add the overall classification of the document.
- 6.3.4. Add the date or event for declassification or the notation “Originating Agency’s Determination Required (OADR)” carried forward from the classification source.
- 6.4. Annotate NATO classification markings at the beginning of each paragraph.
 - 6.4.1. Show the overall US classification at the top and bottom of each page.
 - 6.4.2. Refer to the following examples of equivalent US classifications:

NATO Classification

COSMIC Top Secret ATOMAL

NATO Secret ATOMAL

NATO Confidential ATOMAL

COSMIC Top Secret

NATO Secret

NATO Confidential

NATO Restricted

NATO Unclassified

Equivalent US Classification

Top Secret-Restricted Data/Formerly Restricted Data

Secret-Restricted Data/Formerly Restricted Data

Confidential-Restricted Data/Formerly Restricted Data

Top Secret

Secret

Confidential

None

Unclassified

7. Destruction Guidelines:

- 7.1. Annotate NS destruction on AF Form 310.
 - 7.1.1. For NS material, obtain signatures of two appropriately cleared and briefed persons (destruction and witnessing officials).
 - 7.1.2. Maintain AF Forms 310 for a minimum of 2 years from date of destruction.
- 7.2. Unless required by the originator, destruction of NATO Confidential material does not have to be documented.
- 7.3. Destroy NR equivalent according to local Confidential material destruction procedures.

8. Hand Carrying Guidelines:

- 8.1. When hand carrying NATO material nationally (within US territories), use these guidelines:
 - 8.1.1. Couriers must ensure that the material is kept in a sealed container until reaching their destination.
 - 8.1.2. Official couriers are not required for hand carrying NATO Unclassified material.
 - 8.1.3. Official courier shall be appointed in writing to transport NATO Confidential and above.

8.1.4. Courier destination must be specified. Individuals must read and sign courier instructions (USSAN 1-69).

8.2. When hand-carrying NATO material internationally, use these guidelines:

8.2.1. Official courier authorization is not required for international hand-carrying of NATO Unclassified material.

8.2.2. Couriers hand-carrying NATO classified material internationally must be appointed in writing and possess a courier certificate as described in the USSAN Instruction 1-69.

8.2.2.1. Upon return, the courier will report delivery or non-delivery of NATO material, and shall produce signed receipts for the delivered NATO material.

8.2.2.2. For accountable purposes, the office which provided the NATO material must review signed receipts for all NATO classified material delivered against the list of materials dispatched.

9. Reproduction Procedures. Reproduce NATO classified material only when it is essential to mission accomplishment.

9.1. NS reproduced documents must bear copy numbers as do the original documents. Copies shall reflect appropriate copy numbers.

9.1.1. When a NATO user reproduces a NATO Secret document, ensure he or she provides a signed AF Form 310 to the NATO control point.

9.1.2. When applying copy numbers to reproduced material, identify the office which reproduced the document, the copy number, the total number of copies reproduced, and the copy number of the original document. **Example:** 11 CS/SCSRAS reproduced four copies of a document with the original copy number being 116. The first reproduced copy would be 11 CS/SCSRAS Repro CY# 1 of 4 CYs of CY #116. The second copy would be 11 CS/SCSRAS Repro CY# 2 of 4 CYs of CY #116, etc.

9.2. NATO Confidential material requires control numbers on reproduced copies when required by the originator.

9.3. NR material and below does not require control numbers.

10. Requisitioning Procedures:

10.1. Process written requests for NATO documents through your NATO control point.

10.2. Requests should contain short titles and file number; e.g., 4ATAF 1120.02/SHLOP/S5202/85 and classification of document. It is important that the date of the desired document be provided as well.

11. Forms Prescribed:

11.1. AF Form 310, **Document Control Receipt**.

11.2. AF Form 2583, Request for Personnel Action.

WILLIAM A. DAVIDSON
Administrative Assistant

Attachment 1**GLOSSARY OF REFERENCE AND SUPPORTING INFORMATION*****References***

USSAN 1-69, *United States Security Authority for NATO Affairs Instruction 1-69, United States Implementation of NATO Security Procedures*

AFI 31-401, *Managing the Information Security Program*

AFMAN 37-139, *Records Distribution Schedule*

Acronyms and Abbreviations

North Atlantic Treaty Organization (**NATO**)

United States Security Authority for NATO (**USSAN**)

Subregistry (**SR**)

Control Point (**CP**)

NATO Secret (**NS**)

NATO Confidential (**NC**)

NATO Restricted (**NR**)

NATO Top Secret (**COSMIC**)

Restricted Data/Formerly Restricted Data provided by the US/UK NATO to other NATO components (**ATOMAL**)

Attachment 2

CHECKLIST

A.2.1.	* * * * *	ADMINISTRATION	* * * * *
		YES	*NO N/A
A.2.1.1. Is a copy of last year's inspection report on file?		_____	_____
A.2.1.2. Has corrective action been accomplished?		_____	_____
A.2.1.3. Is USSAN Instructions 1-69 on file with activity?		_____	_____
A.2.1.4. Are the Control Officer and Alternate (s) designated in writing?		_____	_____
A.2.1.5. Is there a current written emergency evacuation and/or destruction plan; Is it posted in a conspicuous and appropriate place and are copies maintained at all elements where NATO materials are maintained?		_____	_____
A.2.1.6. Are all personnel aware of their reporting responsibilities in the event of an actual or possible compromise? Are reports of investigation maintained for 3 years?		_____	_____
A.2.2.	* * * * *	PHYSICAL SECURITY	* * * * *
A.2.2.1. Are security areas and containers inspected at the end of each workday?		_____	_____
A.2.2.2. Are storage facilities the same as prescribed for the storage of US material of the same classification?		_____	_____
A.2.2.3. Are keys and combinations to security containers afforded commensurate protection with the level of material safeguarded?		_____	_____
A.2.2.4. If combinations are recorded and placed in a sealed envelope, is the envelope annotated with "NATO Access Required"?		_____	_____
A.2.2.5. Are combinations to safes containing NATO material changed annually and when an individual no longer requires access?		_____	_____
A.2.2.6. Upon change of Control Officer or custodian is there a documented 100% physical inventory of all NATO classified material?		_____	_____
A.2.2.7. Have all NATO Sub-Control Points been inspected annually and are the inspection reports maintained at the Control Point?		_____	_____
A.2.3.	* * * * *	PERSONNEL SECURITY	* * * * *
A.2.3.1. Are individuals granted access to NATO classified material based on their equivalent US clearance?		_____	_____
A.2.3.2. Are individuals briefed prior to being granted access to any level of NATO classified information?		_____	_____
A.2.3.3. Is a current list of individuals authorized access to NATO information maintained at each office where such information is stored and in the office authorizing access?		_____	_____

A.2.3.4. Are debriefing certificates retained for a minimum period of 1 year following termination of duties requiring access? _____

A.2.3.5. Are briefing and debriefing certificates accomplished on all individuals with NATO classified access? _____

A.2.3.6. Are debriefings conducted on all personnel no longer requiring access to NATO classified information? _____

A.2.3.7. Is an AF Form 2583, Request for Personnel Security Action, used to record that an individual has been briefed on NATO, and is it signed by the individual? _____

A.2.3.8. Is the level of NATO clearance an individual has access to indicated on an AF Form 2583? _____

A.2.4. * * * * * **DOCUMENT CONTROL** * * * * *

A.2.4.1. Is NR information safeguarded at least equivalent to US FOR OFFICIAL USE ONLY, consistent with current guidance? _____

A.2.4.2. Are all NATO documents and messages filed and stored separately from non-NATO material? Are there any markings on the safe to indicate that NATO material is stored therein? _____

* NOTE: NATO material must be separated by area of safe, not just by folder.

A.2.4.3. If NATO and US material are intermingled, is a waiver from the Central US Registry on file? Is intermingling still mission essential? _____

A.2.4.4. If documents are reproduced, are proper procedures followed in controlling of all drafts, copies, and waste, in the reproduction facilities? _____

A.2.4.5. Have internal administration procedures been established to record the internal movement of NS material? Do these procedures work? _____

A.2.4.6. Are there procedures established for the personal carriage of NATO material? _____

A.2.4.7. Have procedures been established to identify material for destruction that is no longer required? _____

A.2.4.8. Was an inventory of all NATO classified material conducted as of 31 Dec of the previous year and a copy forwarded to the Parent Subregistry? _____

A.2.4.9. Are NS, certificates of destruction being kept for at least 2 years after being executed by two properly, briefed witnessing officials? _____

A.2.4.10. Are appropriate procedures followed for determination of area and method of destruction? _____

A.2.4.11. Does the Control Point have specimen signatures on file from their subordinate User Offices of personnel authorized to sign for the material? _____

List of documents traced: (minimum of three)

b. _____

c. _____

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and extend across the width of the page. There are no margins, text, or other markings on the paper.

PHONE: _____

(SAMPLE)